

Administrative Directive

3010.2 September 1, 2018

Policies, Procedures, and Guidance Issuance

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1. PURPOSE

This directive defines the process for developing and maintaining inspection policies, procedures, and guidance issued by the Federal Grain Inspection Service (FGIS).

2. REPLACEMENT HIGHLIGHTS

This directive is updated to provide guidance and detailed procedures with all issuance and supersedes FGIS Administrative *Directive 3010.2, Policies, Procedures, and Guidance issuance*, dated February 02, 2017.

3. BACKGROUND

As part of the United States Department of Agriculture's (USDA) Signature Process Improvement initiative in fiscal year 2015, FGIS identified methods to increase efficiency and accuracy in the process of developing, maintaining, and implementing policies and procedures. A working unit composed of individuals across all FGIS organizational units analyzed the existing issuance process and searched for areas of improvement. The following procedures reflect the responsibilities of organizational components and the streamlined issuance process.

4. DEFINITIONS

- a. Executive Management Team (EMT). The Deputy Administrator of FGIS, Staff Assistant, and Directors of FGIS.
- b. FGIS Editor. A staff member of Field Management Division's (FMD) Policies, Procedures, and Market Analysis Branch (PPMAB) responsible for formatting and preparing documents for issuance.
- c. Office of Primary Responsibility (OPR). The organizational component with program responsibility for the topic covered by the inspection policy, procedure, or other guidance.
- d. Policies, Procedures, and Guidance (PPG). All communication media that is produced by FGIS for use in the official inspection system.
- e. Stakeholders. Individuals, committees, and industry organizations who will be impacted by or who have a direct interest in the PPG.
- f. Triggering Event. An event that precipitates the need for new inspection PPG development or maintenance (e.g., a new procedure or modification to current procedure). Annual maintenance that is seen as insignificant or of low impact by the OPR director does not require the clearance process, only approval from OPR director.
- g. Official Service Provider (OSP). A Federal, State, or private entity that provides official inspection and weighing services.

5. CLASSIFICATION NUMBERING SYSTEM

- a. FGIS uses a modification of the USDA directives classification numbering system. Numbering consists of four digits in conformance with the Departments numbering pattern and aligns with other Government regulations as much as possible. The system groups together all issuances on a specific subject so that the information is easy to locate, use, and store. The classification codes are:
- (1) 1000 Series – Organization, authorities, and administration.
 - (2) 2000 Series – Budget, accounting, financial claims, mail management, and radio communication management.
 - (3) 3000 Series – Paperwork and Automated Data Processing management.
 - (4) 4000 Series – Personnel, safety, and health.
 - (5) 5000 Series – Property, acquisition, and motor vehicle management.
 - (6) 9000 Series – Services and regulatory programs.

Refer to *Directive 3010.1* for more information regarding the classification numbering system.

6. FORMAL ISSUANCES

Formal issuances are documents that communicate FGIS inspection policies and procedures. They are issued in the following formats:

- a. Handbooks. Permanent issuances that provide technical guidance and detailed procedures on a particular subject or function. Handbooks often must be referred to on a daily or frequent basis. Handbooks provide step-by-step instructions for inspecting, weighing, and testing grains/commodities and verifying the performance of testing equipment. Handbooks are more than five pages and require chapters and a table of contents for entire book and each chapter. The revision history for each handbook is located in the last chapter of the handbook. The authority to determine the issuance of handbooks is determined by OPR. Handbooks do not have an expiration date and are valid until superseded by a revised edition or removed by FGIS.

- b. Directives. Permanent issuances that are in force until canceled. Directives are used to issue delegations of authority, basic policies and operating instructions. Directives provide detailed instructions and procedures for performing various analyses and inspection functions on grain and commodities that may not have established standards (e.g., millet, mustard seed, rapeseed, popcorn, etc.). Directives are often issued to address a specific immediate need for testing program (e.g., StarLink testing) or provide an analysis for a specific weed seed such as Ragweed, Canadian Thistle, or Cottonseed in export shipments. A replacements highlights section is required for all directives (the only time there is no replacement highlight section is when you are creating a new directive). Directives differ from Handbooks by limiting the scope of policy or procedure to one specific topic or address a topic for which no handbook is applicable. There is no expiration date for directives and information from directives may be included in handbook(s) at a later date. The OPR determines when a new directive number is required and submits a request for an assigned number to the editor.
- c. Notices. Temporary, one-time issuances that normally address a single subject or action, establish short-term programs or interim procedures. Program notices normally have a 1 year retention period, unless the OPR authorizes an extended retention period. The information contained in the notice may be incorporated into the appropriate Directive or Handbook. Program notices must be retained until cancelled. Documentation stated in expired notices may be used to address future situations. The OPR determines when a notice is required and submits a request for an assigned number to the editor.

7. INFORMAL ISSUANCES

- a. Board of Appeals and Review (BAR) Questions and Answers. Temporary or area-specific questions that deal with interpretive grading issues in order to ensure inspectors align with the BAR.
- b. Policy Bulletin Board Memo. Temporary, one-time issuances that normally address application of an existing policy to a specific set of circumstances that must be retained until cancelled. Policy Bulletin Board memos are memorandums directed at official personnel (only) for the purpose of providing supplemental information to an existing instruction, transmitting policy or requirements for FGIS programs, or establishing new or revised inspection, weighing, and certification procedures. Policy Bulletin Board memos can be short or long term. Policy stated in the memos may be incorporated into the appropriate handbooks or directives as they are revised. The OPR determines when a policy bulletin is required and submits a request for a new number to the editor.
- c. Division specific information tools which may only reiterate existing policy NOT create new policy.

- (1) E-Mail
- (2) Website updates
- (3) Alternative communication tools

8. POLICY

It is FGIS policy to:

- a. Maximize efficiency and accuracy while producing PPG in a timely manner.
- b. Ensure that all PPG produced is formatted to the USDA-approved format.
- c. Ensure that all PPG issued is reviewed by all functions within FGIS.
- d. Advise all stakeholders with the most current and relevant information available.

7. RESPONSIBILITIES

a. EMT will:

- (1) Conduct annual reviews of all existing PPG due for modification or creation, with notification of timelines to stakeholders for input.
- (2) Assign appropriate divisional resources for PPG development and maintenance.
- (3) Prioritize PPG work load and designate the OPR.
- (4) Identify and assign subject matter experts within Divisions to assist OPR.
- (5) Approve all PPG requiring formal clearance.

Note: Directives, Handbooks, and Notices require formal clearance for substantive changes.

b. OPR will:

- (1) Ensure that all PPG developed and maintained conforms to FGIS' PPG Development and Issuance Process as outlined (Attachment 1).
- (2) Provide a list of all PPG to be developed and/or maintained on an annual basis to the EMT.
- (3) Advise EMT of non-substantive changes needed (e.g., defunct organizations, staffing changes, non-content related edits).

- (4) Identify whether PPG should be formal or informal.
- (5) Recommend subject matter experts from other Divisions to assist with issuance of PPG.
- (6) Coordinate the PPG kickoff meeting and complete the kickoff checklist (Attachment 2) with the appropriate work group of subject matter experts.
- (7) Draft and track all document changes and notate on the clearance sheet concurrence or changes requested by division.
 - (a) Print out and proof read document. Ensure proof reading by at least one Agency employee not affiliated with the document working group.
 - (b) When deemed necessary by OPR, provide stakeholders a draft copy of the document to comment on and review. Establish a due date for the retrieval of comments.
- (8) Obtain document issuance number from FGIS Editor.
- (9) Ensure that PPG is reviewed by OPR Division Director ensuring developmental staff work is completed.
- (10) Forward drafted document, clearance sheet (Attachment 6), and any other notes to the FGIS Editor. Before sending, ensure the document is in accordance with the kickoff checklist (Attachment 2), document template (Attachment 3 or 4), and style sheet (Attachment 5).
- (11) Inform the FGIS Editor where the document is to be located and what files must be updated or removed.
- (12) Arrange an advisory briefing for the Office of the Deputy Administrator.
- (13) Approve final document before posting to the web.
- (14) Reviewing issuances annually.
- (15) Determine when a notice is required and submits a request for an assigned number to the editor.

c. FGIS Editor will:

- (1) Assign program notice numbers, policy bulletin numbers, and new directive numbers when requested by the OPR.
- (2) Route document to FGIS director's approval for clearance once document is received from the OPR.

- (3) Forward the changes to the OPR for concurrence.
- (4) Format final document in department approved formatting for the website if no changes from the directors.
- (5) Route document back to OPR director if edits were received from directors.
- (6) Ensure document complies with section 508 of the Rehabilitation Act of 1973.
- (7) Route document to the Webmaster for final posting final.
- (8) Notify all stakeholders of final document by way of email.
- (9) Send back document to OPR if it does not follow the guidelines.
- (10) Review issuances quarterly and notify OPR when documents have expired for guidance.

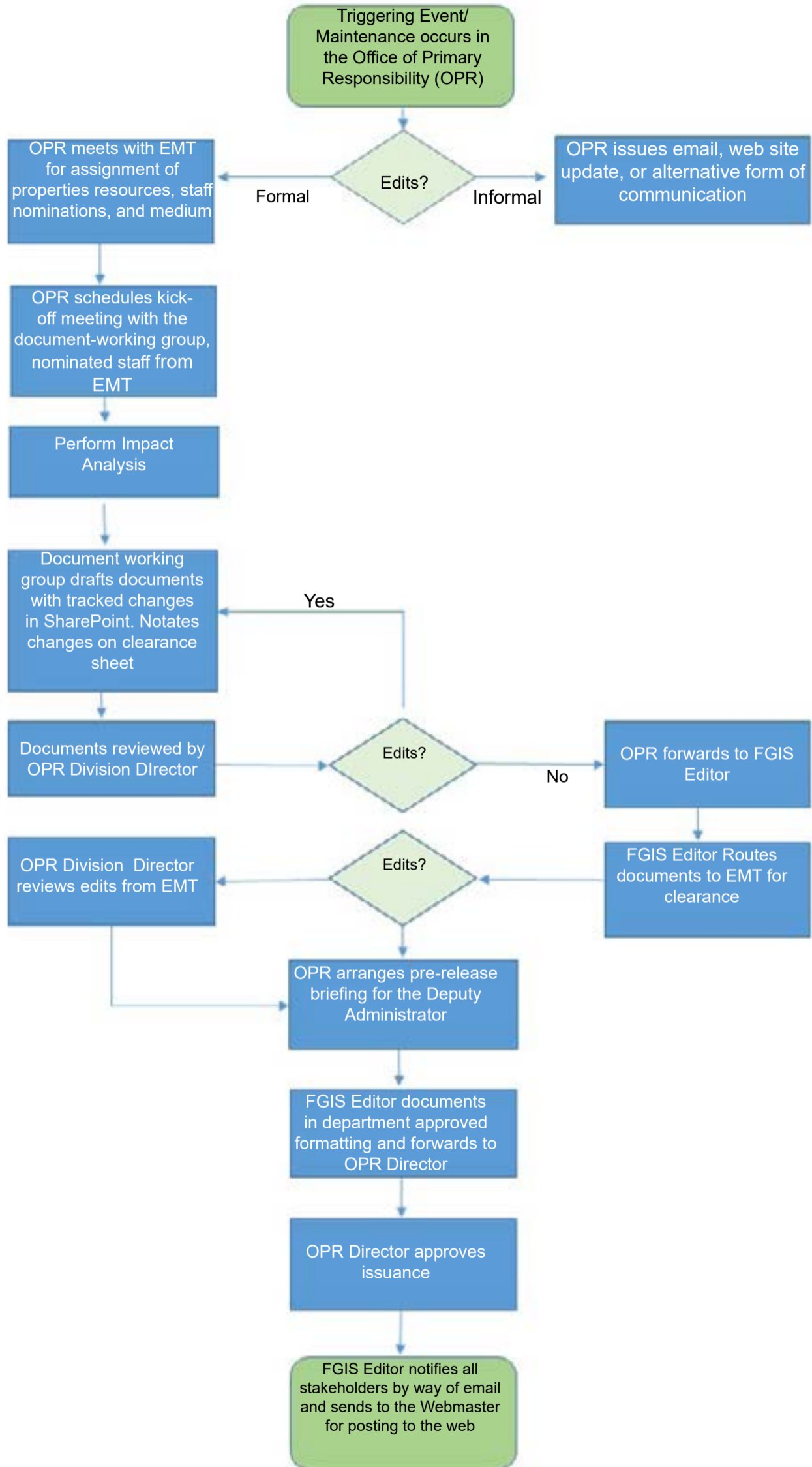
d. Webmaster will:

- (1) Post document to the web.
- (2) Ensure the issue date, OPR, and title of the document are reflected on the website.
- (3) Remove expired or outdated issuances from the web once notified by Editor or Division Director.

8. INQUIRIES

Direct inquiries regarding this Directive to Policies, Procedures, and Market Analysis Branch at 202-720-0228.

Attachment 1: Process Flowchart



Attachment 2: Document Kickoff Checklist

Pre-work (OPR)	
Kickoff meeting date	
Why is this document being implemented? What is the triggering event?	
Who is the lead author?	
What type of document is being drafted?	<input type="checkbox"/> Handbook <input type="checkbox"/> Directive <input type="checkbox"/> Program Notice <input type="checkbox"/> Other:
Is the document internal or external?	<input type="checkbox"/> Internal <input type="checkbox"/> External
What is the targeted completion date?	
Does the document require formal clearance?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If so, from whom is concurrence needed?	
Does the document require publication in the Federal Register?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Is this a new document or a revision to a current document?	<input type="checkbox"/> New <input type="checkbox"/> Revision (identify document number)
Which division is responsible for the document?	<input type="checkbox"/> FMD <input type="checkbox"/> TSD <input type="checkbox"/> DIIA <input type="checkbox"/> QACD <input type="checkbox"/> ODA <input type="checkbox"/> Other:
Does this document represent a change or update current policy?	
Kickoff Meeting (1st meeting with Team Members)	
Identify if this is a major policy change or an issuance.	<input type="checkbox"/> Major policy change <input type="checkbox"/> Issuance
Determine if there are specific impacts. If yes, provide an impact analysis. Task team members to identify impacts to their program area. Discuss at next meeting?	<input type="checkbox"/> Yes <input type="checkbox"/> No
What are the changes?	
Who requested the changes?	
Which other divisions will be affected by the final document?	<input type="checkbox"/> FMD <input type="checkbox"/> TSD <input type="checkbox"/> DIIA <input type="checkbox"/> QACD <input type="checkbox"/> ODA <input type="checkbox"/> Other:

Attachment 2: Document Kickoff Checklist Continued

Identify other divisions, branches, or personnel that should be sought for input.	
What is the target start date for requesting feedback?	
Determine SharPoint Feedback Collection Workflow.	<input type="checkbox"/> Allow feedback only <input type="checkbox"/> Allow feedback and track changes (collaborated version)
Impact Analysis (2nd meeting with Team Members)	
Who does this document impact?	<input type="checkbox"/> Consumers <input type="checkbox"/> Customers/Elevators <input type="checkbox"/> Official Agencies <input type="checkbox"/> FGIS Online <input type="checkbox"/> License Inspector <input type="checkbox"/> Agriculture Commodity Technician
Why are the changes needed?	
Prepare bulleted list to show impact. (Include documents such as handbooks and directives, FGISOnline changes, etc.)	
What other stakeholders might have an interest in the policy presented in this document?	
What are the negative effects of the changes?	

Attachment 3: Document Format Templet for Drafting Issuances

TITLE OF DIRECTIVE OR CHAPTER

1. **PURPOSE**
2. **REPLACEMENT HIGHLIGHTS** (the only time there is no replacement highlight section is when you are creating a new directive)
3. **BACKGROUND**
4. **XXXX**
5. **POLICY**
6. **RESPONSIBILITES**
7. **INQUIRIES**

Text aligns under the indent level (0.5" per level)

a. XXXX. YYY

b. XXXX. YYY

(1) XXX

(2) XXX

(a) XXX

(b) XXX

1 XXX

2 XXX

a XXX

b XXX

Only use sublevels for more than one (e.g., no 1 without 2)
If a document is more than 5 pages it requires a table of contents

Formatting:

Arial

12 POINT BOLD ALL CAPS FOR TOP LEVEL

12 point for document body

Subheadings Underlined with Principle Words Capitalized and Followed by Period.

Note: Bold all text with the first letter capitalized "Note"

Caution: Bold all text with the first letter capitalized and underlined "Caution"

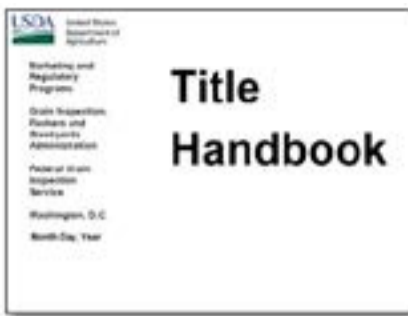
9 point for tables

8 point for footnotes

Double space between paragraphs and numbered/bulleted points

Attachment 4: Document Format Template for Drafting Handbooks

Cover Page. The handbook cover page will appear as shown.



Foreword Page. Outlines the kind of information the handbook contains, who the information pertains to, and under what authority these guidelines exist.

Handbook Table of Contents. Will list chapter numbers and titles in numeric order.

Chapter Table of Contents. Will list the section numbers and titles by page number. The chapter contents will also list the tables, figures, and charts that are within the chapter and the correlating page number.

Revision History. All revisions are listed as last chapter of the handbook.

List of Possible Section Headings:

1. **PURPOSE**
2. **BACKGROUND**
3. **DEFINITIONS / ABBREVIATIONS**
4. **XXXX**
5. **XXXX**
6. **POLICY**
7. **RESPONSIBILITIES**
8. **INQUIRIES**

Text aligns under the indent level (0.5" per level)

CHAPTER AND SECTION IN BOLD AND CAPS (e.g., 1.5 for Chapter 1 Section 5)

- a. **XXX**
- b. **XXX**
 - (1) **XXX**
 - (2) **XXX**
 - (a) **XXX**
 - (b) **XXX**

1 XXX

2 XXX

a XXX

b XXX

Only use sublevels for more than one (e.g., no 1 without 2)
If a document is more than 5 pages it requires a table of contents

Formatting:

Arial

12 POINT BOLD ALL CAPS FOR TOP LEVEL

12 point for document body

Subheadings Underlined with Principle Words Capitalized and Followed by Period.

Note: Bold all text with the first letter capitalized “Note”

Caution: Bold all text with the first letter capitalized and underlined “Caution”

9 point for tables

8 point for footnotes

Double space between paragraphs and numbered/bulleted points

Attachment 5: Style Sheet

General Style:

Use cover sheets for all Handbooks.

List revisions, with most recent first.

If not on this sheet, consult Government Printing Office (GPO) [Style Manual](#).

Use the serial comma (i.e., a, b, and c).

Subheading and definitions underlined with principle words capitalized and followed by period.

Double space between paragraphs and numbered/bulleted points.

Acronyms:

Use all caps for acronyms.

Completely write out the first time with acronym in parenthesis.

Use abbreviation/acronym remainder of document.

Inspection Service (FGIS)

Technology and Science Division (TSD) Field Management Division (FMD)

Department Initiatives and International Affairs (DIIA) Quality Assurance and Compliance Division (QACD)

Standard word abbreviations can also be found in the GPO Style Manual. Diverter-type mechanical sampler (D/T)

Fiscal Year (FY)

Italicize when referring to a specific directive.

Capitalization:

Capitalize the first letter in proper names, titles, and headings.

Do NOT capitalize common nouns (e.g., federal).

Uniformity with capitalization for grains, classes, and subclasses. When referring to grain generically it is NOT capitalized.

When referring to specific classes and subclasses use the following as examples:

Yellow corn, Yellow soybeans, Soft Red Winter wheat, and Dark Northern Spring wheat. CuSum

Capitalize Field Office when referring to a specific office.

Capitalize the word "State" when referring to one of the U.S. States..

Capitalize all job titles.

Dates:

Month, day, and year should be written as (e.g, January 5, 2016). A comma goes after the year unless it is at the end of a sentence.

When referring to a continuous period of two years or more, write as 2000-2009.

For nonconsecutive years use a comma for two years listed together 2004, 2008.

Do not use th, rd, or nd after a date.

Names of months followed by the day, or day and year, are abbreviated in footnotes, tables, leader work, side notes, and in bibliographies. May, June and July are always spelled out.

Jan	Apr	Oct
Feb	Aug	Nov
Mar	Sept	Dec

Spell out days of the week, unless it is for a narrow list in a table.
Fiscal year 2016 (FY16)

Hyphens:

When compound adjectives are used they must be hyphenated.

Numerals:

Use Arabic numerals for all numbers.

Use commas when numbering four or more digits.

Use a leading zero before decimals (0.5).

When one number modifies another, write out the first number. “Two 15 minute breaks a day are allowed.” **Only exception for Arabic numerals.**

Always spell out percent except when using in a chart.

Punctuation:

Place the apostrophe after the possessive form of words that end with an “S” sound (e.g., Jones’).

Use a double justified word space after periods. This applies to all types of composition.

Place punctuation inside quotation marks and outside parentheses, unless the parentheses include a full sentence.

Vertical Lists:

Bullet points should be used for lists.

Bulleted lists must have at least three items and should not have more than six.

Capitalize the first letter of each item.

Only put a period at the end if it is a complete sentence.

Use parallel wording for lists.

- Providing
- Managing
- Networking

Use numerical lists for step by step instruction:

1. I put my socks on.
2. I put my shoes on.
3. I adjust the tongue of my shoe.

Miscellaneous Words or Topics:

Use checkload, checktest, and checkweigh (not check-test or check test)
“The Act” (context) or “the USGSA” or “the AMA”
Use deoxynivalenol or DON, not vomitoxin
e.g. shows an example, i.e. clarifies. Place both in parentheses and followed by a comma (i.e., like this).

TABLES/CHARTS/FIGURES:

Label each with chapter number then TABLES, CHARTS, or FIGURES number.

TABLES/CHARTS titles are located at the top of TABLE/CHART centered in all caps.

Example: Chapter 1 TABLE 1
1.1- Infested Corn

FIGURE titles are located at the bottom of the FIGURE centered in all caps.

Chapter/Table/Figure/Chart

Text describing a specific chapter, table figure, or chart must begin with a capitalized first letter.

Attachment 1: Title of Attachment (capitalizing first letter of each significant word)

When referring to VRI Links

Reference as show below:

Visual Aid: Name of VRI (VRI number).

Example:

Visual Aid: Wild Buckwheat or Similar Seeds (VRI OF-27.0).

The underlined portion should be the link to the VRI.

Attachment 6: Directive Clearance Sheet

DOCUMENT CLEARANCE AND APPROVAL	DATE
	ORIG.
	Originator:

TITLE:

SUMMARY OF CHANGE(S) OR REMARK(S):

REASON(S) FOR CHANGE(S):

INTERNAL TEAM PARTICIPANTS:

CONCURRENCE VOTE OPTION:

Outstanding Issues: